

**NC DIVISION OF MH/DD/SAS**

**CASAWORKS for FAMILIES RESIDENTIAL INITIATIVE  
INDIVIDUAL SPECIFIC MONITORING**

**FY 2006/2007**

<b>LME:</b>		<b>Date:</b>	
<b>Contract Provider:</b>		<b>Unique ID:</b>	
<b>Control #</b>	<b>Record #:</b>	<b>Staff Interviewed:</b>	
<b>Rating Codes: 0 = No 1 = Yes 9 = NA</b>			<b>Rating</b>
1. There is evidence that the woman is at least 18 years of age.			
2. There is evidence that the family, upon admission, was receiving Work First Cash Assistance.			
3. There is evidence that all children in the residence are 11 years of age or under.			
4. There is evidence that the woman has a principal or primary DSM IV TR diagnosis of substance abuse or dependence.			
5. There is evidence that a Person Centered Plan (PCP) was initiated upon admission to the program.			
6. There is evidence that the ESSP (or PCP, if ESSP is not used) is reviewed on at least a monthly basis			
7. There is evidence of a signed release of information, between the county department of social services and the NC CASAWORKS for Families Residential Program, to communicate regarding the client's treatment services.			
8. The release of information meets all the requirements for a valid release: a. Name of participant b. Name of program making disclosure c. Name of organization to which disclosure is to be made d. Nature of the information e. Purpose of disclosure f. Revocation Statement g. Expiration date h. Signature of participant i. Date signed			a.
			b.
			c.
			d.
			e.
			f.
			g.
			h.
			i.
9. There is evidence that a NC TOPPS was completed within the required timeframes: a. Initial Assessment b. 3 month update c. 6 month update d. 12 month update e. every 6 months thereafter			a.
			b.
			c.
			d.
			e.
<b>Comments:</b>			
<b>MONITOR:</b>			

**NC DIVISION OF MH/DD/SAS**  
**2006/2007 Protocol**  
**CASAWORKS For Families-Individual Specific**

**MONITORING INSTRUCTIONS**

*\*Note: For questions (1-4) compliance can be documented by referral information from DSS and/or written documentation from the intake process in the service record. If the individual does not meet the criteria there should be written documentation of an exception to the criteria from the Division MH/DD/SAS.*

**Question #1:** The monitor will review each service record to determine if the individual is at least 18 years old.

**Question #2:** The monitor will review each service record to determine if there is evidence that the family, upon admission, was receiving Work First Cash Assistance.

- This may be seen in a letter from DSS or documentation by the Work First Case Manager.
- In some cases (i.e. individual is new to program) the individual may be eligible for Work First but not yet receiving funding. In this case, there should be some documentation from the Best Practice Team indicating this.

**Question #3:** The monitor will review each service record to determine if there is evidence that all children in residence are age 11 or under (if the child is 12 or older, there needs to be an exception noted from the Best Practice Team).

**Question #4:** The monitor will review each service record to determine if there is evidence that the woman has a principal or primary DSM IV TR diagnosis of substance abuse or dependence.

**Question #5:** The monitor will review each service record to determine if there is evidence that a Person Centered Plan (PCP) was initiated upon admission to the program. There may also be a CASAWORKS Economic Self-Sufficiency Plan (ESSP), in addition to the PCP but there must be a PCP in place.

**Question #6:** The monitor will review each service record to determine if there is evidence that the ESSP or PCP is reviewed on at least a monthly basis. If an ESSP is not used, then there must be evidence that the PCP was reviewed on at least a monthly basis. If the review does not include changes to the PCP, additional signatures are not needed. A Case Management note indicating the review was conducted is acceptable.

**Question #7:** The monitor will review each service record to determine if there is evidence of a signed release of information, between the county department of social services and the NC CASAWORKS for Families Residential Program, to communicate regarding the individual's treatment services. (The county in question here is the county in which the program is based.)

**Question #8:** A valid release of information (meeting the requirements of 42 C.F.R. Part II) will include the following:

- a) Name of service recipient
- b) Name of program making disclosure (i.e. NC CASAWORKS for Families Residential Program)

- c) Name of organization to which disclosure is to be made (i.e. County DSS)
- d) Nature of the information (i.e. Assessment, treatment recommendations and progress)
- e) Purpose of the disclosure (i.e. Work First eligibility)
- f) Revocation Statement
- g) Expiration Date (Time limit of no more than one (1) year with reference to the specific information to be released.)
- h) Signature of participant (i.e. individual's signature)
- i) Date (i.e. date signed by individual)

All elements (a-i) must be present in order to rate this question Yes (1 / MET). If any item is not present, rate the question No (0 / NOT MET).

**Question #9:** The monitor will review each service record to determine if an NC TOPPS Initial Assessment was completed.

- The NC TOPPS Initial Assessment should be completed within 30 days of the first date of service.
- Subsequent updates must be completed within 15 days before or after the due date.
- A copy of the NC TOPPS Initial Assessment form can be found in the service record.

Rate each element (a-e) 1/MET or 0/NOT MET. If an update is not due, rate the element (b-e) 9/NA. All elements (a-e) must be rated either 1 or 9 for the overall rating to be 1/MET. If any element is rated 0, the overall rating is 0/NOT MET.